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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:
Sorrells *et al.*
Appl. No.: 09/550,644
Filed: April 14, 2000
For: **Method and System for Down-
Converting an Electromagnetic
Signal, Transforms for Same,
and Aperture Relationships**

Confirmation No.: 9317
Art Unit: 2681
Examiner: Gelin, Jean Alland
Atty. Docket: 1744.0010009

Sixth Supplemental Information Disclosure Statement

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

RECEIVED

MAY 05 2004

Technology Center 2600

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Sixth Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Fifth Supplemental Information Disclosure Statement filed on September 3, 2003 in connection with the above-captioned application.

In addition to providing hard copies of the documents as required by applicable rules, Applicants herewith provide a Compact Disc labeled "Disc 3" having stored thereon searchable electronic copies (in PDF format) of the documents listed on the PTO-1449. More specifically, the CD contains electronic copies of documents AB55-AI55, AA56-AI56, AA57-AG57, AL23, AN59, and AO59. In addition, the CD also contains electronic copies of documents AC46-AI46, AA47-AI47, AA48-AI48, AA49-AC49, AG49-AI49, AA50-AI50, AA51-AI51, AA52, AB52, AF52-AI52, AA53-AI53,

AA54-AI54, AA55, AM13, AJ14-AM14, AJ15-AM15, AJ16-AM16, AJ17-AM17, AJ18-AM18, AJ19-AM19, AJ20-AM20, AJ21-AM21, AJ22-AM22, AJ23, AK23, AQ51, AR51, AN52-AR52, AN53-AR53, AN54-AR54, AN55-AR55, AN56-AR56, AN57-AR57, and AN58-AR58, all of which were cited in the present application in previous Information Disclosure Statements. Documents AH57, AI57, AA58-AI58, AA59-AI59, AA60-AI60, AA61, and AB61 have not been scanned. The file names on the CDs correspond to the identifiers on the PTO-1449 forms. It is noted that the CDs are being provided in addition to hard copies of the documents for the convenience of the Examiner.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants provide the following comments regarding the documents:

Documents AB55 and AC55 were cited in an Office Action in related U.S. Patent Application No. 09/550,642, filed April 14, 2000, entitled "Method and System for Down-converting an Electromagnetic Signal, and Transforms for Same," directed to related subject matter.

Documents AD55, AC56, AI56, AA57, AF57, and AG57 are co-owned patents which are directed to related subject matter.

Documents AE55-AI55 were cited in an Office Action in related U.S. Patent Application No. 09/548,923, filed April 13, 2000, entitled "Method and System for Frequency Conversion with Modulation Embodiments," directed to related subject matter. Also cited in the Office Action were U.S. Patent Nos. 6,091,940 and 6,353,735, which have already been cited in the present application in a previous Information Disclosure Statement.

Documents AA56 and AB56 were cited in an Office Action in related U.S. Patent Application No. 09/543,867, filed April 5, 2000, entitled "Automated Meter Reader Applications of Universal Frequency Translation," directed to related subject matter.

Documents AC56, AI56, AA57, AF57, AG57, and AE60 were cited in a Notice of Allowance in related U.S. Patent Application No. 09/838,387, filed April 20, 2001, entitled "Method and System for Down-Converting and Up-Converting an Electromagnetic Signal, and Transforms for Same," directed to related subject matter. Also cited in said Notice of Allowance were U.S. Patent Nos. 5,937,013 and 6,061,551, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AD56 and AE56 were cited in an Office Action in related U.S. Patent Application No. 10/317,181, filed December 12, 2002, entitled "Differential Frequency Down-Conversion Using Techniques of Universal Frequency Translation Technology," directed to related subject matter.

Documents AF56 and AG56 were cited in an Office Action in related U.S. Patent Application No. 10/317,165, filed December 12, 2002, entitled "Method and Apparatus for Reducing DC Offsets in Communication Systems Using Universal Frequency Translation Technology," directed to related subject matter.

Documents AH56, AB57, and AN59 were cited in an Office Action in related U.S. Patent Application No. 09/567,977, filed May 10, 2000, entitled, "Optical Down-converter Using Universal Frequency Translation Technology," directed to related subject matter.

Documents AC57-AE57, AL23, and AO59 were cited in an Office Action in related U.S. Patent Application No. 09/669,634, filed September 26, 2000, entitled "High Frequency Translator and Method of High Frequency Translation," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 6,049,706; 6,421,534; and 6,560,301, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AH57, AI57, AA58, and AB58 were cited in an Office Action in related U.S. Patent Application No. 09/567,978, filed May 10, 2000, entitled "Carrier and Clock Recovery Using Universal Frequency Translation," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 5,937,013, which has already been cited in the present application in a previous Information Disclosure Statement.

Documents AC58 and AD58 were cited in a Notice of Allowance in related U.S. Patent Application No. 10/330,219, filed December 30, 2002, entitled "Methods and

Systems for Down-Converting Electromagnetic Signals, and Applications Thereof," directed to related subject matter.

Documents AE58-AI58 and AA59-AG59 were cited in an Office Action in related U.S. Patent Application No. 09/566,188, filed May 5, 2000, entitled "Integrated Frequency Translation and Selectivity with Gain Control Functionality, and Applications Thereof," directed to related subject matter.

Documents AH59 and AI59 were cited in an Office Action in related U.S. Patent Application No. 09/632,856, filed August 4, 2000, entitled "Wireless Local Area Network (WLAN) Using Universal Frequency Translation Technology Including Multi-Phase Embodiments and Circuit Implementation," directed to related subject matter.

Documents AA60-AC60 were cited in an Office Action in related U.S. Patent Application No. 09/569,044, filed May 10, 2000, entitled "Universal Platform Module and Methods and Apparatuses Relating Thereto Enabled by Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 2,057,613; 2,241,078; 2,283,575; 2,358,152; 2,410,350; 2,451,430; 2,472,798; 4,653,117; and 5,241,561, which have already been cited in the present application in a previous Information Disclosure Statement.

Document AD60 was cited in an Office Action in related U.S. Patent Application No. 10/289,377, filed November 7, 2002, entitled "Method and Apparatus for Reducing DC Offsets in a Communication System," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,471,665; 5,793,817; and 5,898,912, which have already been cited in the present application in a previous Information Disclosure Statement.

Documents AF60 and AG60 were cited in an Office Action in related U.S. Patent Application No. 09/525,185, filed March 14, 2000, entitled "Spread Spectrum Applications of Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,339,459; 5,369,789; and 5,937,013, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AH60, AI60, AA61, and AB61 were cited in an Office Action in related U.S. Patent Application No. 09/569,045, filed May 10, 2000, entitled "Methods and Apparatuses Relating to a Universal Platform Module and Enabled by Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,339,459 and 5,557,641, which have already been cited in the present application in a previous Information Disclosure Statement.

Document AK23 was cited in an Office Action in related Japanese Patent Application No. 2000-577,764, filed June 21, 2000, entitled "Applications of Frequency Translation," directed to related subject matter.

It is noted that some of these documents could be classified in more than one of the above categories.

This statement should not be construed as a representation that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign

patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.

- 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.
- 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
 - c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p).
- 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- 6. A concise explanation of the relevance of non-English language document AL23 appears below:
Document AL23 (DE 196 48 915 A1) appears to describe a process of frequency conversion. An English-language translation of document AL23 is enclosed as document AO59.
- 7. Copies of the documents are enclosed.

is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

6. A concise explanation of the relevance of non-English language document AL23 appears below:

Document AL23 (DE 196 48 915 A1) appears to describe a process of frequency conversion. An English-language translation of document AL23 is enclosed as document AO59.

7. Copies of the documents are enclosed.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



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Attorney for Applicants
Registration No. 39,987

Date: 5/3/04

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| PATENT & TRADEMARK OFFICE FORM PTO-1449 SIXTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 1744.0010009 | APPLICATION NO. 09/550,644 |
| | INVENTORS SORRELLS et al. | |
| | FILING DATE April 14, 2000 | ART UNIT 2681 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|------|-----------------|---------|-----------------|----------------------------|------------------------|-------------|
| | AA | | | | | | |
| | AB55 | 6,026,286 | 02/2000 | Long | | | |
| | AC55 | 6,178,319 B1 | 01/2001 | Kashima | | | |
| | AD55 | 6,634,555 B1 | 10/2003 | Sorrells et al. | | | |
| | AE55 | 3,736,513 | 05/1973 | Wilson | | | |
| | AF55 | 4,488,119 | 12/1984 | Marshall | P <small>ROCESS</small> | V <small>IED</small> | |
| | AG55 | 4,633,510 | 12/1986 | Suzuki et al. | | | MAY 03 2004 |
| | AH55 | 5,369,789 | 11/1994 | Kosugi et al. | | | |
| | AI55 | 5,416,449 | 05/1995 | Joshi | T <small>echnology</small> | C <small>enter</small> | 2600 |

FOREIGN PATENT DOCUMENTS

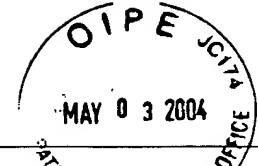
| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|------|------------------|---------|---------|-------|-----------|--------------------|
| | AJ | | | | | | Yes No |
| | AK | | | | | | Yes No |
| | AL23 | DE 196 48 915 A1 | 06/1998 | DE | | | YES (Doc. AO59) |
| | AM | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | |
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| AN | 59 | Simoni, A. et al., "A Single-Chip Optical Sensor with Analog Memory for Motion Detection," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. 30, No. 7, pp. 800-806 (July 1995). |
| AO | 59 | English Translation of German Patent Publication No. DE 196 48 915 A1, 10 pages. |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|------|-----------------|---------|---------------------|-------|-----------|------------------------|
| | AA56 | 5,438,329 | 08/1995 | Gastouniotis et al. | | | |
| | AB56 | 6,611,569 B1 | 08/2003 | Schier et al. | | | |
| | AC56 | 6,647,250 B1 | 11/2003 | Bultman et al. | | | |
| | AD56 | 5,682,099 | 10/1997 | Thompson et al. | | | |
| | AE56 | 6,094,084 | 07/2000 | Abou-Allam et al. | | | |
| | AF56 | 6,067,329 | 05/2000 | Kato et al. | | | |
| | AG56 | 6,516,185 B1 | 02/2003 | MacNally | | | |
| | AH56 | 6,608,647 B1 | 08/2003 | King | | | MAY 05 2004 |
| | AI56 | 6,687,493 B1 | 02/2004 | Sorrells et al. | | | Technology Center 2600 |

P - O E V E D**FOREIGN PATENT DOCUMENTS**

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
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| | AJ | | | | | | Yes No |
| | AK | | | | | | Yes No |
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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**SIXTH SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|------|-----------------|---------|-----------------|-------|-----------|------------------------|
| | AA57 | 6,694,128 B1 | 02/2004 | Sorrells et al. | | | |
| | AB57 | 6,031,217 | 02/2000 | Aswell et al. | | | |
| | AC57 | 5,955,992 | 09/1999 | Shattil | | | |
| | AD57 | 5,999,561 | 12/1999 | Naden et al. | | | |
| | AE57 | 6,686,879 B2 | 02/2004 | Shattil | | | |
| | AF57 | 6,704,549 B1 | 03/2004 | Sorrells et al. | | | RECEIVED |
| | AG57 | 6,704,558 B1 | 03/2004 | Sorrells et al. | | | MAY 05 2004 |
| | AH57 | 5,490,176 | 02/1996 | Peltier | | | |
| | AI57 | 5,970,053 | 10/1999 | Schick et al. | | | Technology Center 2600 |

FOREIGN PATENT DOCUMENTS

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| | AJ | | | | | | Yes No |
| | AK | | | | | | Yes No |
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |

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|------------------|------|-----------------|---------|------------------|-------|------------------------|-------------|
| | AA58 | 6,078,630 | 06/2000 | Prasanna | | | |
| | AB58 | 6,600,911 B1 | 07/2003 | Morishige et al. | | | |
| | AC58 | 5,179,731 | 01/1993 | Tränkle et al. | | | |
| | AD58 | 5,589,793 | 12/1996 | Kassapian | | | |
| | AE58 | 4,510,467 | 04/1985 | Chang et al. | | | |
| | AF58 | 4,772,853 | 09/1988 | Hart | R | SEARCHED | |
| | AG58 | 4,972,436 | 11/1990 | Halim et al. | | | |
| | AH58 | 5,012,245 | 04/1991 | Scott et al. | | | MAY 03 2004 |
| | AI58 | 5,422,909 | 06/1995 | Love et al. | Tech | Technology Center 2600 | |

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| | AJ | | | | | | Yes No |
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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|------|-----------------|---------|--------------------|----------|-----------|------------------------|
| | AA59 | 5,440,311 | 08/1995 | Gallagher et al. | | | |
| | AB59 | 5,926,513 | 07/1999 | Suominen et al. | | | |
| | AC59 | 5,995,030 | 11/1999 | Cabler | | | |
| | AD59 | 6,047,026 | 04/2000 | Chao et al. | | | |
| | AE59 | 6,049,573 | 04/2000 | Song | | | |
| | AF59 | 6,076,015 | 06/2000 | Hartley et al. | RECEIVED | | |
| | AG59 | 6,144,331 | 11/2000 | Jiang | | | MAY 03 2004 |
| | AH59 | 6,018,553 | 01/2000 | Sanielevici et al. | | | Technology Center 2600 |
| | AI59 | 6,317,589 B1 | 11/2001 | Nash | | | |

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2681**U.S. PATENT DOCUMENTS**

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|------------------|------|-----------------|---------|----------------------|-----------------------|-----------|-------------|
| | AA60 | 5,058,107 | 10/1991 | Stone et al. | | | |
| | AB60 | 5,757,858 | 05/1998 | Black et al. | | | |
| | AC60 | 6,531,979 B1 | 03/2003 | Hynes | | | |
| | AD60 | 6,018,262 | 01/2000 | Noro et al. | | | |
| | AE60 | 4,761,798 | 08/1988 | Griswold, Jr. et al. | P-077 ED | | |
| | AF60 | 5,982,315 | 11/1999 | Bazarjani et al. | | | MAY 03 2004 |
| | AG60 | 6,459,721 B1 | 10/2002 | Mochizuki et al. | | | |
| | AH60 | 6,151,354 | 11/2000 | Abbey | Techology Center 2600 | | |
| | AI60 | 6,169,733 B1 | 01/2001 | Lee | | | |

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| | AJ | | | | | | Yes No |
| | AK | | | | | | Yes No |
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |

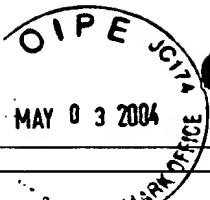
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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2681**U.S. PATENT DOCUMENTS**

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|------|-----------------|---------|-------------------|-------|-----------|------------------------|
| | AA61 | 6,363,262 B1 | 03/2002 | McNicol | | | |
| | AB61 | 6,697,603 B1 | 02/2004 | Lovinggood et al. | | | |
| | AC | | | | | | |
| | AD | | | | | | |
| | AE | | | | | | |
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|----|-----------------|------|---------|-------|-----------|-------------|
| | AJ | | | | | | Yes No |
| | AK | | | | | | Yes No |
| | AL | | | | | | Yes No |
| | AM | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| | AN | | |
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| EXAMINER | DATE CONSIDERED |
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| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant. | |